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Attorney Docket No.  
D/A0052

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of Andre Kempe

Group Art Unit: 2641

Application No.: 09/737,552

Examiner: Not Yet Assigned

Filed: 12/18/00

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APR 04 2001

Technology Center 2600

For: Method and Apparatus for Factoring Ambiguous Finite State Tranducers

Commissioner for Patents  
Washington, D.C. 20231

Sir:

**INFORMATION DISCLOSURE STATEMENT**

Pursuant to 37 C.F.R. 1.56 and 37 C.F.R. 1.97, the attention of the Patent and Trademark Office is hereby directed to the reference(s) and information listed on the attached PTO-1449 Form. One legible copy of each is attached to the PTO-1449 Form. It is respectfully requested that said references and information be expressly considered during the prosecution of this application, and that the reference(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

- 1. This Information Disclosure Statement is being filed (a) within three months of the U.S. filing date or the date of filing a continuing application, **OR** (b) before the mailing date of a first Office Action on the merits in the present application. *No certification or fee is required.*
- 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date **AND** after the date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance. Please debit Xerox Corporation Deposit Account 24-0025 in the amount of \$240.00 in payment of the fee under 37 C.F.R. 1.17(p). *(A copy of this paper is attached.)*
- 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance; **AND**
  - a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

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- b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c), more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(2)
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  - a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1); **(OR)**
  - b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(2)
- 5. Per 37 C.F.R. 1.98(c), a concise explanation of the relevance of each of any submitted item that is NOT in the English language is either enclosed herewith, or incorporated in the application specification.
- 6. An English language version of an above-referenced counterpart foreign application search report is attached.
- 7. Copies of some or all of the subject references were cited by, or submitted to the Office in related parent Application No. , filed , which is relied upon under 35 U.S.C. §120. Thus, copies of these references are not attached. 37 C.F.R. §1.98(d).

Thomas Zell

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Signature under 37 CFR 1.33 & 34

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Date 02/12/2001



Form PTO-1449 INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	US Dept. of Commerce PATENT & TRADEMARK OFFICE	ATTY DOCKET NO. D/A0052	APPLICATION NO. 09/737,552
	APPLICANT Andre Kempe		
	FILING DATE 12/18/00	GROUP ART UNIT 2641	

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE	CLASS	SUB CLASS

## FOREIGN PATENT DOCUMENTS

	COUNTRY	DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	TRANSLATION Y/N

## OTHER DOCUMENTS (Including Author (in CAPS), Title, Publication Date, Pages, etc.)

ELGOT C.C ET AL. "On Relations Defined by Generalized Finite Automata," IBM Journal of Research and Development, pp. 47-68, 1965.
KEMPE, ANDRE "Reduction of Intermediate Alphabets in Finite-State Transducer Cascades," 7 <sup>th</sup> Conference on Automatic Natural Language Processing (TALN), Lausanne, Switzerland; September 16-18, 2000.
KEMPE, ANDRE "Factorization of Ambiguous Finite-State Transducers," Pre-Proceedings of the 5 <sup>th</sup> International Conference on Implementation and Application of Automata (CIAA), p. 157-164, London, Ontario, Canada, 2000. Final Proceedings in: Springer-Verlag Lecture Notes in Computer Science.
ROCHE E. ET AL. "Introduction", Finite-State Language Processing, MIT Press, Cambridge, MA, USA, pp. 1-66, 1997.
SAKAROVITCH, JACQUES "A Construction on Finite Automata that has Remained Open," Theoretical Computer Science, 204:205-231, 1998.
SCHUTZENBERGER, MARCEL PAUL "A Remark on Finite Transducers," Information and Control, 4: 185-187, 1961.

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Examiner: Initial if citation considered, whether or not citation is in conformance with M.P.E.P. 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.